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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1

of 3

### Complete if Known

Application Number	09/536,258
Filing Date	March 27, 2000
First Named Inventor	G. Gastineau, et al.
Art Unit	3628
Examiner Name	Charles, Debra
Attorney Docket Number	00322.0007.NPUS00

### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
DFC	1	US- 6,047,270	04-04-2000	Joao	
	2	US- 6,061,662	05-09-2000	Makivic	
	3	US- 6,061,663	05-09-2000	Bloom	
	4	US- 6,088,685	07-11-2000	Kiron	
	5	US- US 2002/0091616	07-11-2002	Bloom	
	6	US- US 2002/0184126	12-05-2002	McIntyre, Jr	
	7	US- US 2003/0126062	07-03-2003	Gilbert	
	8	US- US 2004/0044505	03-04-2004	Horwitz	
	9	US- US 2004/0049448	03-11-2004	Glickman	
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### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
DFC	10	WO 02/084435 A2	10-24-2002	Kholer		

Examiner  
Signature

*Debra Charles*

Date  
Considered

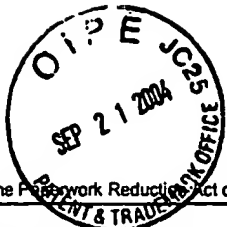
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PTO/SB/08b (08-03)

Approved for use through 06/30/2008. OMB 0851-0031

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Sheet 2

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Examiner Name	Charles, Debra
Attorney Docket Number	00322.0007.NPUS00

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
PFC	11	B. Rosenberg "Extra-Market Components of Covariance Among Security Prices" Research Program in Finance Working Paper RPF-013, 1-45, 1973	
	12	B. Rosenberg "Common Factors in Security Returns: Microeconomic Determinants and Macroeconomic Correlates", Seminar on the Analysis of Security Prices, May 13-14, 1976	B. Ros enb
	13	MAR Headlines ; In Business "Mopex ups ante in ETF patent challenge" Last visited on April 25, 2002	
	14	[Random -bits] Gregory Aharonian on Open end mutual fund securitization process patent; pages 1-4; last visited April 25, 2002	
	15	Gregg Greenberg "What's Next for ETFs?", The Street.com, pages 1-2	
	16	T. Laswing "Active ETF Inching Toward Reality" Ignites.com, June 10, 2004	
	17	T. Bernard "Getting Personal: Active ETF Filing May Be On Horizon" Dow Jones News Service, June 23, 2004	
	18	I. Clary "Actively Managed ETFs on Horizon" Securities Industry News, June 28, 2004, Copyright (c) Thomson Media Inc.	
	19	U.S. Securities and Exchange Commission, " SEC Concept Release: Actively Managed Exchange - Traded Funds" <a href="http://www.sec.gov/rules/concept/ic-25258.htm">http://www.sec.gov/rules/concept/ic-25258.htm</a> ; last visited on 08/24/2004	
↓	20	Ameritrade; Ameritrade Exchange -Traded Funds-ETF Center: Education; " Explore the essentials of ETFs"; pages 1-4, 2004	

Examiner Signature		Date Considered	12/16/04
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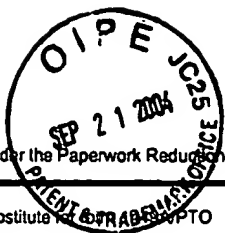
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**INFORMATION DISCLOSURE  
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DFC	21	Ameritrade; Ameritrade Exchange -Traded Funds-ETF Center; "Could Exchange Traded Funds Be Right For You?"; pages 1-2, 2004	
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